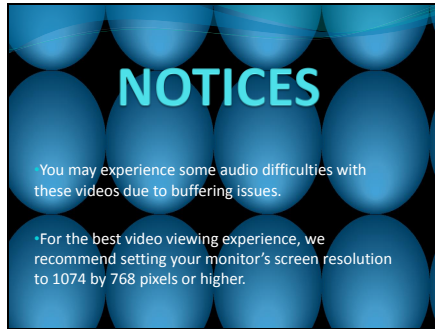


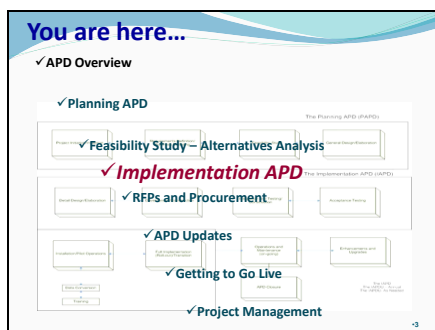
Slide 1



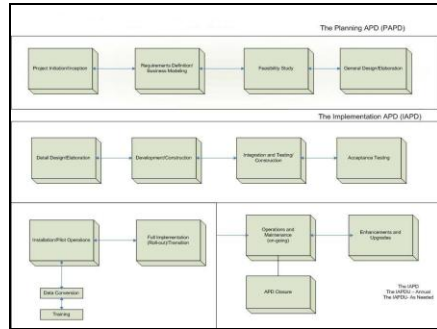
Slide 2



Slide 3




Slide 4



Slide 7

TIPS FOR SUBMITTING AN IAPD

- Well written and meet all review criteria
- Incomplete or poorly written documents will result in delays or disapproval
- Don't underestimate FNS review time



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Slide 8

An IAPD tells us:

- Who you are
- What it is you want to automate and what benefit it is to FNS
- Why you want to automate it
- When you want to do this
- How you want to accomplish it
- How much it will cost
- Who pays for it

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As the Culmination of the Planning Process, the IAPD:

- Provides results of the analysis and feasibility of various automation alternatives
- Describes the proposed automation project
- Provides the initial management plan for acquiring, developing, testing, and implementing the selected alternative

-9

Slide 10

Program/Funding Source		
Stakeholder	SNAP	WIC
State Agency prepares and submits IAPD 60 days before project initiation.	For all projects >\$5 million total project costs	For all projects requesting funding ≥\$500,000 total costs
FNS reviews within 60 days.		

HINT:
It's in the 901!

Source: FNS Handbook 001, Figure 2-6

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REMEMBER:

Costs that otherwise might be approvable, may be disallowed if you do not obtain prior approval of your IAPD from FNS.

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IAPD Documentation Requirements by Program			
Documents	SNAP	WIC	WIC SAM
1- Transmittal Letter with Official Signature	X	X	X
2- Executive Summary	X	X	X
3- Feasibility Study/Alternatives Analysis	X	X	N/A
4- Cost-Benefit Analysis	X	X	N/A
5- Functional Requirements Documents	X	X	X
6- General Systems Design	X	X	N/A
7- Capacity Planning or Study	X	X	X
8- Project Management Plan	X	X	X
9- Resource Requirements	X	X	X
10- Schedule of Planning Activities, Milestones, and Deliverables	X	X	X
11- Proposed Budget	X	X	X
12- Cost Allocation Plan	X	X	X
13- Security Planning	X	X	X
14- Request for Waiver of Depreciation	X	X	X
15- Training Plan	X	X	X

Slide 13

Components of an IAPD

1. Transmittal Letter with Official Signature

2. Executive Summary

3. Functional Requirements Document

-13

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Components of an IAPD

4. Feasibility Study/Alternatives Analysis

5. Cost-Benefit Analysis

6. General Systems Design

7. Capacity Planning or Study

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Components of an IAPD

8. Project Management Plan

9. Resource Requirement

10. Schedule of Activities, Milestones, & Deliverables

11. Proposed Budget

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Components of an IAPD

- 12. Cost Allocation Plan
- 13. Security Planning
- 14. Request for Waiver of Depreciation
- 15. Training Plan

Slide 17



FNS Timeframes

60 DAYS


Slide 18

50 States
x 2 programs (WIC & SNAP)
+ multiple systems in some states
+ WIC ITOs & US territories
x ~3-6 docs/project
÷ 7 of us

60 days

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Components of the IAPD



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Slide 20

#1 Transmittal Letter

- Letter signed by a State official with authority to commit State resources
- Demonstrates you have executive involvement and backing




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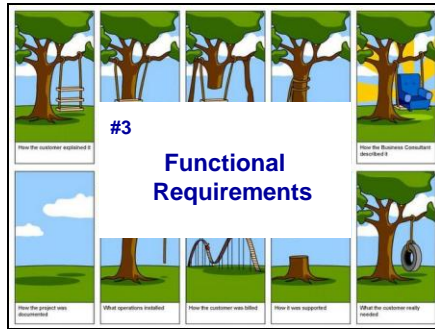
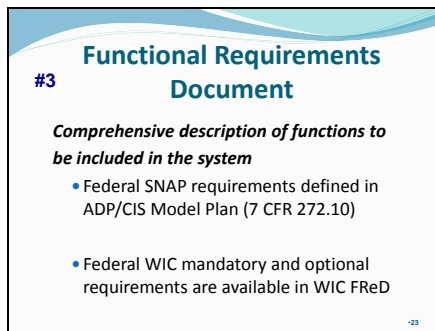
Slide 21

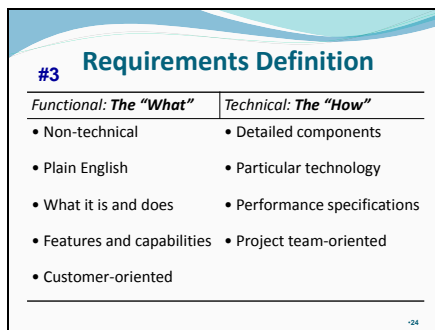
#2 Executive Summary

- Describes business need at a high-level
- Identifies the stakeholders
- Summarizes advantages, challenges and shortcomings the proposed system will address
- Identifies resources required
- States the technical, financial, and program impacts of the project



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[illegible][illegible]



Slide 25

#3

Good Requirements are:

- Complete
- Valid – based on legitimate business needs
- Clear – unambiguous and precisely written
- Consistent
- Feasible
- Testable
- Traceable – linked to a source

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Slide 26

#4

Overview of the Feasibility Study

- A preliminary study that determines whether the project being considered is technically, financially, and operationally viable
- Is directly linked to the Functional Requirements Document (FRD) in that the FRD is the baseline against which various approaches are assessed
- Must include an **alternatives analysis**

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#5

Cost-Benefit Analysis

- Determines which alternative will provide the greatest benefits relative to its costs
- Identifies the tangible and intangible benefits
- Provides the estimated cost of developing and operating each alternative

Cost/Benefit Analysis



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Slide 28

#5

FNS Cost Benefit Analysis Requirements

- IAPD must show a meaningful cost comparison was completed.
- Requirement for demonstrating the number of years to break even is *eliminated*.
- Tracking and reporting on the CBA beyond the initial approval is *eliminated*.


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#6

General System Design (GSD)

- A broad high-level description of how the system will look from the technical side
- Describes generic system architecture with possible components and processes




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Slide 30

#6

General System Design (GSD)

- Combination of narrative and technical diagrams
- Identifies overall logic flow and systems functions desired
- Identifies performance requirements
- Identifies operating environment



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Slide 31

#7

Capacity Planning

Determines overall size, performance and resilience of an information system



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Slide 32

#7

Capacity Planning

- Helps to establish a computer installation that meets current and projected systems needs



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#7

Capacity Planning

Considerations:

- Expected storage capacity
- # of on-line processes and contention
- Performance and response time
- Level of resilience
- Impact of security
- Hours of operation



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Slide 34

#8

Project Management Plan

- Project oversight
- Governance
- Reporting requirements
- How you will achieve professional project management
- *The State's own roles, responsibilities and expectations*



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Slide 35

#9

Resource Requirements

- Describes resources the State expects to use
 - Staff
 - Funding
 - Facilities
- Requests funding from FNS
- Ties closely to Project Management Plan
- Describes all staff resources that will be used 10% or more throughout the project

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#10

Schedule of Activities, Milestones and Deliverables

Schedule of key design, development, and implementation tasks, events, and deliverables for the life of the project





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#11 Completing the IAPD Budget

- Capture **all** anticipated expenditures of project implementation phase described in detail.
- Reflect the **duration** of the development/ implementation phase **broken out by FFY and quarter**.
- Provide **narrative text** as needed to support line items.

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IAPD Budget - Areas of Concern



Slide 39

IAPD Budget - Areas of Concern

- Failure to include indirect costs
- Program staff costs not included or charged inappropriately



Slide 46

#12

YES

Cost Allocation Plan - Do I Need One?

If it's an integrated system:

- State agencies must develop and submit a methodology for allocating costs among benefiting programs.
- Direct charging of project costs should be done to the maximum extent possible.

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Slide 47

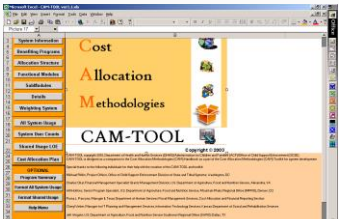
Cost Allocation Methodology (CAM) Toolkit

- Helps States determine how to allocate software development costs to Federal and State benefiting programs over the system development lifecycle
- Expedites the Federal approval process for State Cost Allocation Plans

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CAM Toolkit Contents



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Security Plan

#13

HINT:
It's in the 901!

- Provides the approach and requirements of the security plan
- Describes the physical, electronic, and operational security of the system
 - Hardware
 - Software
 - Data
 - Communications
 - Facilities



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Slide 50


Waiver of Depreciation

#14

FNS requires State agencies to depreciate the cost of equipment purchases over the expected life of the equipment

UNLESS

a formal waiver is requested



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Training Plan

#15

- Describes how all users will be trained
- Describes the methodologies to be used
- Defines materials to be developed
- Includes travel in the training budget
- Provides a timetable for training
- Addresses on-going training needs

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Testing Plan

#16

- Test Methodology
- Results Tracking Methodology
- Analysis Process
- State and Contractor Roles
- Standards or Pass/Fail Criteria
- Go/No-Go points
- Contingency Plan

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#16

- Test Methodology
- Results Tracking Methodology
- Analysis Process
- State and Contractor Roles
- Standards or Pass/Fail Criteria
- Go/No-Go points
- Contingency Plan

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Slide 54

IAPDs for
Maintenance & Operations

When do I need one

?

54

- When do I need one



•54

Slide 55

IAPD for M&O

Prior approval is required when it includes significant hardware upgrades, platform changes, and/or software enhancements.

No approval needed for routine operations, including corrective, adaptive or perfective changes – without introducing additional functional capability.

HINT:
It's in the 901!

-55

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Maintenance and Operations Decision Table Examples		
	IAPD Required	IAPD Not Required
Hardware	Replacement of mainframe and associated peripheral devices	Routine hardware replacement of routers, hubs, storage devices that does not affect type of platform
	Architecture change from client/server or distributed system to web-based	Routine PC replacement (usually planned in advance on a cycle replacing a percentage of PCs on an annual basis)
	Increased storage and/or processor capacity to meet increased caseload requirements	Upgrade of peripheral devices such as printers or scanners
		Procurement for leased hardware and peripherals needs to be rebid
Source: FNS Handbook 901		

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Maintenance and Operations Decision Table Examples		
	IAPD Required	IAPD Not Required
Software	Software enhancement adds new functionality to the existing certification/eligibility or issuance system	Routine software maintenance, including fixes, patches, and upgrades that do not introduce additional functional capabilities to the system
	Implementation of Enterprise Architecture	Routine software license renewals
		Routine support activities that normally include corrective, adaptive, and perfective changes, <u>without introducing additional functional capabilities</u>
Source: FNS Handbook 901		

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Maintenance and Operations Decision Table Examples		
	IAPD Required	IAPD Not Required
Services	Consultant services are required to develop and implement software upgrades to an existing system that adds new functionality to the system	Contract for routine maintenance and operations services is due to expire, needs to be rebid; SOW does not include any enhancements or upgrades to software that will add functionality to the system

Source: FNS Handbook 901

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The chart indicates I don't need an IAPD. . .

•What do I do?


Submit:

- RFP to FNS for prior approval
- Signed transmittal letter
- Contract

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FNS IAPD Review Criteria



A stylized, comic-book-like illustration of a man with a beard and a cowboy hat, looking through a large telescope. The man is wearing a blue suit jacket over a red shirt. The background is purple with white stars. The illustration is framed by a black border.


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FNS IAPD Review Criteria

Adequately identifies objectives and needs of the system

- *Did you make your business case?*




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FNS IAPD Review Criteria


Provides an acceptable plan for proceeding

- *Are your goals and objectives feasible and reasonable?*
- *Are your goals achievable?*



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FNS IAPD Review Criteria

Detailed project plan of all activities

- *Did you fully describe the scope of the design, development, and implementation activities?*

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FNS IAPD Review Criteria

Acceptable Alternatives and Cost-benefit Analyses

- *Do the improvements or benefits justify the cost of the chosen alternative?*

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FNS IAPD Review Criteria

Adequacy of funds, resources, and skills

- *Are committed funds, skilled staff and other resources adequate to succeed?*
- *Does the proposed system duplicate or conflict with other systems or efforts using the same resources?*

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FNS IAPD Review Criteria

Comprehensive project management plan

- *Does the State demonstrate the ability to manage the project professionally?*

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FNS IAPD Review Criteria

Includes Line Item Budget by FFY and Quarters and the sources and amounts of Federal and non-Federal funding

- *Is the budget in a clear format, broken down by phase, FFY, and quarters with narrative explanations of costs as needed?*

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FNS IAPD Review Criteria

Approvable Cost Allocation Plan

- *Are costs allocated to all benefiting programs, using a reasonable method?*

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IAPD Approval Conditions

- **General** – Related to availability of Federal funds and compliance to FNS regulations
- **Specific** – Funding may be approved for only a specific time period or incrementally based upon specific conditions

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Retroactive Approval

State agencies are urged to communicate with FNS early and often.

Retroactive approvals are granted only in the most extreme circumstances.

Poor planning or communication is not considered a valid reason for retroactive approval of funding.



Retroactive Approvals

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IAPD Summary

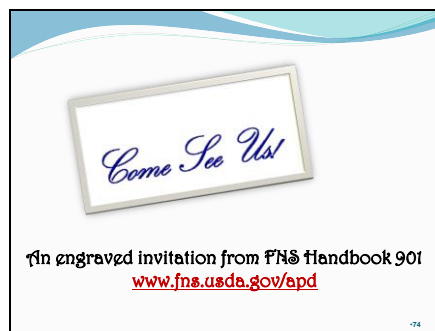
- Purpose
- Responsibilities, timeframes, and funding thresholds
- Required components
- Tools to complete an IAPD budget
- When an IAPD is required during M&O
- FNS review criteria

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An engraved invitation from FNS Handbook 901
www.fns.usda.gov/apd